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PTO/SB/21 (09-04)

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# TRANSMITTAL FORM

Total Number of Pages in This Submission

Application Number	10/528,640 ✓
Filing Date	March 22, 2005
First Named Inventor	Christopher Becker
Art Unit	To Be Determined
Examiner Name	To Be Determined
Total Number of Pages in This Submission	Attorney Docket Number
	ASZN0019-100 (100848-1P US)

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO SB/08b (1p.); (4) References Cited, (4) References Enclosed.
<b>Remarks</b> <b>EXPRESS MAIL LABEL NO: EV770974612US</b> <b>DATE OF DEPOSIT: 27 December 2005</b> <b>EV770974612US</b>		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm	Cozen O'Connor		
Signature			
Printed Name	Paul K. Legarda, Ph.D.		
Date	27 December 2005	Reg. No.	38,534

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature		
Typed or printed name		Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*O I P E IAPBA*  
DEC 27 2005  
PATENT & TRADEMARK OFFICE

In Re Application of: **Becker, Dembofsky, Jacobs, Kang, Ohnmacht, Rosamond, Shenvi, & Simpson and Woods**

Serial No.: **10/528,640**Group Art Unit: **To Be Determined**Filing Date: **March 22, 2005**Examiner: **To Be Determined**For: **Novel Lactams and uses thereof**

**Mail Stop Amendment**  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Dear Sir:

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. §§ 1.56 and in accordance with 37 C.F.R. §§ 1.97 and 1.98, information relating to the above-identified application is hereby disclosed, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO Form SB/08B, formerly known as PTO Form 1449 submitted herewith.

Inclusion of the information submitted herewith is not to be construed as an admission that the information is material as that term is defined in 37 C.F.R. § 1.56(b).

In accordance with 37 C.F.R. § 1.97(g), the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made.

**This Supplemental Information Disclosure Statement is being filed:**

- within three months of the filing date of the patent application.
- within three months of the date of entry into the national stage as set forth in 37 C.F.R. § 1.491 of the international application.
- before** the mailing date of a first Office Action on the merits.
- after** the mailing date of a first Office Action on the merits, but before the mailing date of a Final Office Action under 37 C.F.R. § 1.116 or a Notice of Allowance under 37 C.F.R. § 1.311, and accordingly is accompanied by:
- the Statement under 37 C.F.R. § 1.97(e) (see "Statement" below);

## or

- the Fee of \$180.00 set forth in 37 C.F.R. § 1.17(p); or
- No fee is owed by the applicant(s).
- In accordance with 37 C.F.R. § 1.129(a), this Supplemental Information Disclosure Statement is being filed in connection with  the first or  second After Final Submission, and accordingly is accompanied by the Statement under 37 C.F.R. § 1.97(e) (see "Statement" below) and the fee of \$180.00 as set forth in 37 C.F.R. § 1.17(p), is attached.
- after the mailing date of a Final Office Action under 37 C.F.R. § 1.116 or a Notice of Allowance under 37 C.F.R. § 1.311, but before the payment of the Issue Fee, and accordingly is accompanied by the Statement under 37 C.F.R. § 1.97(e), (see "Statement," and "Fees" below).
- Copies of the references listed on the attached PTO Form SB/08b, formerly known as PTO Form 1449, are enclosed.

**EXCEPT THAT:**

- In view of the voluminous nature of reference @@, and the likelihood that this reference is available to the Examiner, copies are not enclosed herewith.
- In accordance with 37 C.F.R. § 1.98(d), copies of the following references listed on the attached PTO Form SB/08A and PTO Form SB/08B, formerly known as PTO Form 1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application.
- If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

**Statement under 37 C.F.R. § 1.97(e)**

- The undersigned attorney hereby states that each item information contained in the Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Supplemental Information Disclosure Statement.

**Fees**

- No Fee is owed by the applicant(s).
- The Supplemental Information Disclosure Statement Fee of \$180.00 under 37 C.F.R. § 1.17(p) is enclosed herewith.

**Method of Payment of Fees**

- Attached is a check in the amount of \$\_\_\_\_\_ . This form is submitted in duplicate.
- Charge Deposit Account No. 50-1275 in the amount of \$180.00. This form is submitted in duplicate.
- Please charge any deficiency or credit any overpayment to Deposit Account 50-1275.
- No fee or Statement is required under 37 C.F.R. § 1.97(b).

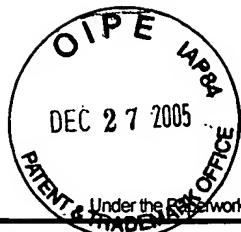
Respectfully submitted,



\_\_\_\_\_  
Paul K. Legaard, Ph.D.  
Registration No. 38,534

Dated: 27 October 2009

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Substitute for form 1449B/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

of

1

### Complete if Known

Application Number	10/528,640
Filing Date	March 22, 2005
First Named Inventor	Christopher Becker
Art Unit	To Be Determined
Examiner Name	To Be Determined
Attorney Docket Number	ASZN0019-100 (100848-1P US)

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	4	Banzatti et al., "Synthesis of phenyl-substituted 2 <i>H</i> -3,4-dihydro-3-aminomethyl-1,4-benzoxazines. Intermediates for 1 <i>H</i> -2,3,3a,4-Tetrahydroimidazo-[5,1-c][1,4]benzoxizan-1-one derivatives. Part II," <i>J. Heterocyclic Chem.</i> (1983) 20:259-265.	
	5	Karim et al., "Synthese d'aminophosphinephosphinites chiraux. Utilisation en reduction asymetrique catalytique," <i>J. Organometallic Chem.</i> (1986) 317(1):93-104.	
	6	Lu et al., "Process development on the preparation of <i>trans</i> -(+)-2-methylaminocyclohexanol: a fascinating resolution example," <i>Org. Proc. R&amp;D</i> (2001) 5:184-185.	
	7	Remington's Pharmaceutical Sciences, 17 <sup>th</sup> ed., Mack Publishing Company, Easton, PA 1985, p. 1418-1419.	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.